

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Thomas J. Daley et al.
Filing Date: January 29, 2004
For: SYSTEM AND METHOD FOR AVOIDING TRANSACTION
COSTS ASSOCIATED WITH TRADING ORDERS

Mail Stop Patent Application
Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

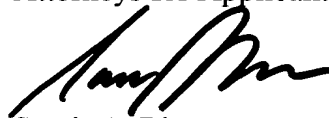
Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. No representation is made that a search has been made, that the references are material to the patentability of the present application, or that the references qualify as prior art.

Respectfully submitted,

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| PTO-1449 Information Disclosure Citation In an Application | Application No. Unknown | | Applicant(s) Thomas J. Daley et al. | |
| | Docket Number 069547.0175 | Group Art Unit Unknown | Filing Date January 29, 2004 | |

U.S. PATENT DOCUMENTS

| | | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS | FILING DATE |
|--|---|--------------|------|------|-------|----------|-------------|
| | A | | | | | | |
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FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
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| | J | | | | | | | |
| | K | | | | | | | |
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| | M | | | | | | | |

| | | DOCUMENT (Including Author, Title, Source, and Pertinent Pages) | DATE |
|--|---|---|---------------------------------|
| | N | Patent Pending Application entitled, "System and Method for Routing a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0163, 64 pages including drawings | filing date January 29, 2004 |
| | O | Patent Pending Application entitled, "System and Method for Routing a Trading Order According to Price," by Thomas J. Daley et al., attorney docket no. 069547.0173, 72 pages including drawings | filing date January 29, 2004 |
| | P | Patent Pending Application entitled, "System and Method for Controlling the Disclosure of a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0174, 66 pages including drawings | filing date January 29, 2004 |
| | Q | Patent Pending Application entitled, "System and Method for Matching Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0176, 74 pages including drawings | filing date January 29, 2004 |
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| EXAMINER | DATE CONSIDERED |
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

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